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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner	Julian Nikolchev, Dai T. Ton, William R. George, Nicholas C. Debeer		
Application No./ Patent No.	10/550707	Filed/Issue Date	06/26/2006
Entitled	IMPLANT DELIVERY TECHNOLOGIES		
Name of Assignee	CardioMind, Inc.		
Type of Assignee (corporation, partnership, university)	Corporation		

states that it is:

- 1 ☒ the assignee of the entire right, title and interest; or
- 2 ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 017070, Frame 0044, or for which a copy thereof is attached.

or


- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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[ ] Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee:

Signature			
Date	7/9/2007	Typed Name	Mark Stirrat, Reg. No. 50,756
Telephone	(949) 567-6700	Title	Attorney

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 1222 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comment on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patent, P.O. Box 1450, Alexandria, VA 22313-1450.



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 26, 2006

PTAS

BOZICEVIC, FIELD & FRANCIS, LLP  
1900 UNIVERSITY AVENUE, SUITE 200  
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\*103099562A\*

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RECORDATION DATE: 09/28/2005

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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

NIKOLCHEV, JULIAN

DOC DATE: 12/03/2004

ASSIGNOR:

TON, DAI T.

DOC DATE: 12/03/2004

ASSIGNOR:

GEORGE, WILLIAM R.

DOC DATE: 12/03/2004

ASSIGNOR:

DEBEER, NICHOLAS C.

DOC DATE: 12/03/2004

ASSIGNEE:

CARDIOMIND, INC.  
257 HUMBOLDT COURT  
SUNNYVALE, CALIFORNIA 94089

(RMU-008/CAL)  
**RECEIVED**

FEB 6 - 2006

Bozicevic, Field, & Francis

02/07/06

017070/0044 PAGE 2

SERIAL NUMBER: 10550707

PATENT NUMBER:

✓ PCT NUMBER: US0408909

✓ TITLE: IMPLANT DELIVERY TECHNOLOGIES

FILING DATE:

ISSUE DATE:

LAZENA MARTIN, EXAMINER  
ASSIGNMENT SERVICES BRANCH  
PUBLIC RECORDS DIVISION



09-30-05

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OMB No. 0651-0027 (exp. 6/30/2005)

10-14-2005

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United States Patent and Trademark Office

103099562

To the Director of the U.S. Patent and Trademark Office, for recording and transmittal of documents or the new address(es) below.

## 1. Name of conveying party(ies)/Execution Date(s):

NIKOLCHEV, JULIAN  
TON, DAI T.  
GEORGE, WILLIAM R.  
DEBEER, NICHOLAS C.Execution Date(s) December 3, 2004Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
☐ Other \_\_\_\_\_

## 2. Name and address of receiving party(ies)

Name: **CARDIOMIND, INC.**  
Street Address: **257 Humboldt Court**  
City: **Sunnyvale**  
State: **California**  
Country: **USA** Zip: **94089**Additional name(s) & address(es) attached? ☐ Yes ☒ No4. Application number(s) or patent number(s): ☐ This document is being filed together with a new application.

A. Patent Application No.(s)

**US2004/008909**

B. Patent Registration No.(s)

Additional number(s) attached? ☐ Yes ☐ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Bozicevic, Field & Francis, LLP**  
Street Address: **1900 University Avenue, Suite 200**  
City: **East Palo Alto**  
State: **California** Zip: **94303**  
Phone Number: **(650) 327-3400**  
Fax Number: **(650) 327-3231**  
Email Address: **lasalle@bozpat.com**6. Total number of applications and patents involved: 17. Total fee (37 CFR 1.21(h) & 3.41) **\$40.00**

- ☒ Authorized to be charged by credit card  
☒ Authorized to be charged any additional fees to deposit account  
☐ Enclosed  
☐ None required (government interest not affecting title)

## 8. Payment Information

a. Credit Card Last 4 Numbers **1002**  
Expiration Date **04/07**b. Deposit Account Number **50-0815**Authorized User Name **Karl Bozicevic**

## 9. Signature:

Signature

09/28/2005

Date

**Carol M. LaSalle, Reg. No. 39,740**

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: **3**Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:  
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10/05/2005 6 KEY1 00000138 PCT/US04/08909

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# ASSIGNMENT OF APPLICATION (JOINT)

Atty Docket No. CRMD-008

THIS ASSIGNMENT, by JULIAN NIKOLCHEV, DAI T. TON, WILLIAM R. GEORGE, and NICHOLAS C. DEBEER (hereinafter referred to as the assignors), residing in Portola Valley, California; Milpitas, California; Santa Cruz, California; and Santa Cruz, California, respectively, witnesseth:

WHEREAS, the said assignors have invented certain new and useful improvements in:

## "IMPLANT DELIVERY TECHNOLOGIES"

X filed on March 23, 2004 as PCT International Application No. PCT/US2004/008909 designating the United States.  
       for which an application for a United States Patent was executed on       , and

WHEREAS, CardioMind, Inc., a corporation duly organized under and pursuant to the laws of Delaware, and having its principal place of business at 257 Humboldt Court, Sunnyvale, California 94089 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said invention and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and behalf and the use and behalf of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said invention and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said invention, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said invention in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said invention, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date 12/14/05

Name of Inventor

JULIAN NIKOLCHEV

Date 1/11/06

Name of Inventor

DAI T. TON

Date 1-11-06

Name of Inventor

WILLIAM R. GEORGE

Date 12-30-05

Name of Inventor

NICHOLAS C. DEBEER